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ABSTRACT

Various kinds of negotiations that may be used to teach interactional skills in the advanced English as a second language (ESL) classroom are discussed, and examples of materials are included. Seven distinctive features of negotiations are as follows: (1) there must be a minimum of two parties present at the interaction; (2) each party must have certain expectations and/or demands; (3) these demands or objectives cannot be shared; (4) the parties are willing to modify their positions; (5) there must be a degree of involvement present in the negotiators such that modification of positions becomes difficult; (6) the process must conclude or have an outcome; and (7) the parties believe that the outcome will be satisfactory. Language is an additional feature when two parties from different cultures and language backgrounds negotiate. The purposes and goals of negotiations are also variable from culture to culture. The four stages of negotiations are the opening, exchange, change, and closing. Examples are presented of negotiations that highlight not only the functions of the various stages of negotiations, but also some of the strategies that native English speakers use in negotiating. Attention is also directed to teaching negotiating styles and interactional strategies to ESL students. The strategies include topic initiation and maintenance, yielding the floor, refusing to yield the floor, interrupting, and pausing. The format of the classroom is briefly discussed, and the game, "Nuclear Energy for TOGO" is presented. (SW)

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NEGOTIATIONS

In this paper, I would like to discuss how various kinds of negotiations may be used in the ESL/EFL classroom to teach interactional skills. Negotiations have been a favorite area of research for many years and for many people. Anthropologists such as Malinowski (1922) and Mauss (1925) looked at the system of exchange among the Trobriand Islanders. Social psychologists have stayed closer to home in looking at how people behave in specific settings such as negotiations.

Interestingly, but perhaps not surprisingly, little work has been conducted on actual negotiations in contemporary society. I say not surprisingly because the process of negotitions appears to entail a high degree of involvement on the part of the participants- it involves a kind of private performance which only other performers are allowed to witness.

Because so little work has been done, most authors on the so-called "art" of negotiating rely heavily on their own experiences and intuitions rather than on empirical data. This is not to say that they do not provide us with interesting insights, but authors relying on their intuitions sometimes confuse more than enlighten (cf. Northdurft 1972 and Bender 1961 on the question of questions). While this tells us something about the complexity of negotiations, it does little to clarify the process.

Even with such drawbacks, however, negotiations continue to fascinate us. Perhaps we are all somewhat enthralled with the notion of attaining a level of power normally unknown in our everyday interactions. In negotiations, we have the potential power to elicit another's concession to our objectives. Whether we take this power or not is up to us- and for what ends we use it is also our decision. Good negotiators are usually thought to be people who get what they want while ensuring that their opponent also feels satisfied with the outcome.

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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

For the past couple of years, I have been interested in first language negotiations. Last summer, while teaching in the Harvard University summer ESL program, I had the chance to discuss some of my work on negotiations with a colleague in the program, Joan Klyhn. She encouraged me to put this knowledge into practice in a course for the advanced foreign students. Thanks to her, and to Anne Dow, the director of the program who allowed me the opportunity to try something new, I was able to put this course together.

In this paper, then, I will discuss how I used negotiations as a means of teaching interactional skills to very advanced ESL learners. I will also share some of the materials which I developed for this class. Prior to doing this, however, I would like to do two things: first, I would like to attempt a description of the process known as negotiations, and, second, I would like to explain two different negotiating styles and the interactional strategies used within these styles. Then, I will conclude the paper with a sample of actual materials used in the class.

PART ONE: A Description of Negotiations

Negotiations are a give-and-take process. It is my belief that there are seven universal features which characterize this process. Should any one of these features be missing, then the interaction becomes something other than a negotiation.

The first feature is that there must be a minimum of 2 parties present at the interaction since interaction, by definition, requires more than one person. In negotiations, therefore, as in all interactions, 2 or more parties are required.

The second feature is that each party in the negotiation have certain expectations and/or demands (objectives) with which they enter into the process. If there are no objectives, then there is no reason for a negotiation to take place.

The next feature is that these objectives cannot be shared. By this I mean that each party must have their own expectations and/or demands. Obviously, if both parties agree before the negotiation, then

there will be no negotiation.

The fourth feature is that these parties are willing to modify their positions. And yet, the fifth feature is that there must be a degree of involvement present in the negotiators such that modification of positions becomes difficult. Participants in negotiations must feel that the process of negotiations can either help them or hurt them.

The penultimate feature is simply that the process conclude; i.e., that there is an outcome.

And the final feature of negotiations is that the parties believe that the outcome will be satisfactory. If they believed otherwise, then they would see no reason to enter into negotiations in the first place.

These seven features, then, make up the distinctive features of negotiations. As mentioned earlier, the absence of any one of them changes the interaction such that it is no longer what we would call a negotiation.

These seven features are contained within every negotiation. They are universals. There are other features that occur as well, but they are not universal.

Among the many non-universal features, I will briefly look at two and then discuss a third at some length. These are the features which come into play when negotiations occur cross-culturally.

The first feature which comes into play when two parties from different cultures/language backgrounds negotiate is that of language. If the two parties do not share the same language, there may be serious consequences to the success of the negotiation (Hall 1959, Graham 1980, 1981).

The second non-universal feature, the purposes and goals of negotiations, is also variable from culture to culture. Even within one's own culture, however, the reasons and goals of negotiating may change. An example is the family who negotiates what to have for dinner as a means of communicating, a means of exchanging information rather than as a means of obtaining an objective. The objective is the secondary purpose of the negotiation. Within the same culture, one might also have outcome-oriented negotiations where the means is unimportant and all is based on the ends.

The third non-universal is the content of the four stages of negotiations. This last feature is the one which I would like to look at as the crucial point in the teaching of interactional strategies. Before I do that, however, let me say that four stages of negotiations have been pointed by researchers in social psychology and marketing theory (Graham 1980). From the beginning to the end, they have divided the process into four parts.

Unfortunately, each writer has given these stages different names. For the sake of simplifying the various terms which they have used, I have taken the functions of the stages as their names.

Four stages of negotiations

	Functions
Opening	a) greetings b) introductions c) establishment of roles
Exchange	a) statement of demands/needs b) obtainment of information
Change	a) modification of demands/needs b) the causing of modification
Closing	a) restatement of outcome b) summary and/or evaluation of negotiation c) leave-taking

As you can see from the table above, the names describe the functional content of the four stages.

Thus, greetings, introductions, and the establishing of roles take place in the Opening stage. In the next stage, the participants state their needs and demands as well as try to obtain as much information as possible about their opponent's needs and demands. This is the Exchange stage.

The third stage is the one which most likely comes to mind when someone thinks of negotiations- and this is the one called Change.

During this stage, parties attempt to cause their opponents to modify their demands and to be satisfied with less. Concessions are made in this stage.

The final stage of negotiations includes the reaching of a final agreement. This is often followed by a summary of the proceedings by the parties, or an evaluation of the negotiation itself. Leave-takings occur as the final part of the interaction.

Theexamples that follow from these four stages of negotitions are taken from transcripts I made of a videotape of a simulated negotiation between two American male MBA students at the University of Southern California. The videotape was graciously made available to me by Dr. John Graham of the Marketing Department at USC. The transcription here is a very broad one used only to demonstrate samples of native speaker 's strategies in the four stages.

1. Openings (6:1:1-7)

Seller:	1	Uh ya innerested in buying some some uh small applicances
	2	I hear and uh thought I'd come by so that we could uh
	3	so maybe arrive at an equitable solution uh help each other
	4	out here. I'm in the business of selling you're in the
	5	business of buying.
Buyer:	6	Well we're both in the business of selling in the in
	7	the long run so - -
Seller:	8	Oh right.....

This first excerpt shows an opening. No greetings or introductions took place on camera. This may be due to 1) the camera began shooting after the students were seated; 2) the students were classmates and already knew one another. The two participants do, however, begin the negotiation by establishing the roles that they will play within it.

In the second stage, I have given two examples below to show how the participants begin to state their objectives and to obtain information from each other.

2. Exchange (6:2:23-25) (6:3:2-8)

Buyer: 1 Okay well um do you have any preference th-there's one of
2 them I have a problem with with one of my items
Seller: 3 Okay well you got a problem I've got a problem too...

* *

Seller: 1 Why don't you why don't you go ahead and tell me your problem
Buyer : 2 Well it - relates it relates to uh um a constraint that I have
3 on one of them. And I don't I'm probably sure that you're aware
4 of it but uh uh my typewriters and vacuum cleaners apparently
5 my demand is the same for them they say that it's they're
6 just about the same uh - fer the fact that they're recent
7 models etcetera etcetera....

The third sample of data comes from the stage called change. Here we see the seller, who is already willing to modify his positions, forced to do so by the threat of the buyer.

3. Change (6:7:5-19)

Seller: 1 Well actually our ceiling prices are are our going rates on
2 on the those particular television sets are are price "I"
3 and I was just giving giving a giving you a little bit of y'know
4 a little bit of flexibility there now if if that's not flexible
5 enough we can discuss that
Buyer: 6 Yeah I think we'll have to because we consider our stores are
7 pairly ya know fairly competitive and uh discount and uh
8 and th- fact is that uh - if we can't provide some kind of
9 flexibility for us in the price on something like that then
10 we're really in a bind it's really not worth us carrying them
11 or that or ya know we'll just have to get them somewhere else
12 or just uh I'm not sure exactly what but ya know we know we're
13 not in the business of supporting supporting our customers for
14 no profits so
Seller: 15 Well I hear that hhh-hhhhh

The final stage of closings shows the seller restating the final outcome in terms of the prices agreed to. The prices here are given in letters rather than in numbers, where "B", "E", and "H" all equal to numbers. The buyer then begins to evaluate the process which they have just completed.

4. Closings (6:22:1-8)

Seller: 1 we've got --a good deal there. Okay go 'head- I'll go ahead
2 and go down I'll - I'll do "B" for you. If we can agree on
3 "B", "E" - are we agreed on "B", "E", "H" fer
Buyer: 4 Uh that okay
Seller: 5 fer the typewriters "B" for the televisions "E" for the type-
6 writers and "H" for vacuum cleaners
Buyer: 7 Awright that's fair. 'N I think it's also rather uh - fair
8 from the point of view that none of us are probably going to
9 lose any money on it.....

These examples highlight not only the functions of the various stages of negotiations, but also show us some of the strategies which native English speakers use in negotiating.

PART TWO: Negotating Styles and Interactional Strategies

I would now like to move on to the second part of the paper, and address the issue of negotiating styles and the interactional strategies which are used within them.

I believe that the inability of non-native speakers to use these strategies appropriately prevents them from being fully communicatively competent (Hymes 1964).

The term communicative competence has been most often interpreted as meaning linguistic accuracy coupled with situational appropriateness. I would like to suggest that communicative competence also includes interactional competence: the ability of speakers to manage interactions through the use of verbal and nonverbal strategies.

Teaching ESL/EFL students these strategies cannot be done the same way as the teaching of linguistic accuracy and situational appropriateness. I believe that the focus in the classroom must shift from the individual students onto the interaction created by these students. Individual student production, although important, is not the sole consideration. What must be looked at is what the group has achieved through their interaction and whether or not they feel satisfied with it.

Not only must the outcome of the process be analysed, but the process itself must be looked at. The success or failure of the process is dependent of the students' abilities to manage interactional strategies in English.

Some of these strategies include topic initiation and maintenance, yielding the floor, refusing to yield the floor, interrupting, pausing, using hedges and repairs. I am using the term "topic" here to mean what the discourse is about.

Negotiations provide us with a means of focussing on the interaction and the success of that interaciotn in terms of the interactional strategies used.

As a preliminary step in the teaching of negotiations, I began the class with a discussion and clarification of two different styles of negotiating which have been suggested by several writers on negotiaions. For want of better terms, I have called them "My Way" and "Your Way". These are shown below.

Preparatory exercises: Two styles of negotiating

My way	Your way
Persuasion - Proposing ideas - Giving point of view - Supporting views - Disagreeing w/opponent - Disparaging opponent's position Assertion - Stating demands - Evaluating other's position - Offering incentives for opponent to alter position - Using authority to assert views	Involvement - Obtaining information - Supporting opponent's views - Listening - Finding similarities Solidarity - Giving positive feedback - Sharing thoughts and ideas - Disclosing personal information

The "My Way" style of negotiating is a more aggressive form of interacting, with the speaker attempting to dominate the interaction. The "Your Way" style engages the listener is a more cooperative interaction where the goal is to work together towards a mutually satisfactory solution.

The purpose in discussing these styles and in beginning the class with exercises on them is to help the students experiment with the language strategies associated with these styles so that they may see the effect of the styles and be able to choose bits and pieces from both styles as they wish.

The strategies associated with the two styles are found below.

Discourse strategies used in the two styles

My way	Your way
- Initiating topics	- Maintaining topics
- Maintaining topics	- Designating a 'next' speaker
- Refusing to yield the floor	- Yielding the floor
- Interruptions	- Hedges
- Pauses (filled)	- Pauses (filled and unfilled)
- Repairs (self and other)	- Repairs (self)

These are the two styles of negotiating and the strategies which we focussed on in the class. In the last part of the paper which follows, I will briefly describe the format of the class and share some actual materials with you.

PART THREE: Classroom Format and Materials

First of all, I must say that I had a very unusual and delightful group of students to work with. The Harvard summer program offers students a wide selection of elective classes, and therefore, the teachers of those electives find themselves in the fortunate positions of having students who have chosen to take their specific classes. I benefitted from having students who were not only highly motivated, but also interested in the topic of negotiations.

Because so much of the work in this class was individual preparation and group interaction without the teacher, I don't know how the materials would work with a less self-motivated class.

Responsibility for the success or failure of a negotiation rested largely with the materials and the students. The role of the teacher was secondary.

It was my responsibility, however, to provide the students with progressively more challenging negotiations: more challenging both in the interactional strategies required, and in the complexity of the topic (issues) of the negotiations.

I also occasionally took the responsibility of leading the group in our playback sessions when no one appeared eager to run the video playback machine. Because we were fortunate in being able to videotape a sample of almost every negotiation game we did, playback sessions were as essential part of the class. Usually, the students alternately ran the machine and commented as we went along. I ran the machine only if I wanted to make a specific point.

The first negotiations we did involved simple sales negotiations between pairs of students- the same game that the two American students played in the data used earlier. We did another two-party negotiation which involved a higher degree of topic complexity while keeping the interactional strategies similar.

From these two-party negotiations, we moved on to small group negotiations. Students were given the situation and the roles of the participants in the negotiation. They read these as homework and chose which role they wanted to play.

In class, they were then given worksheets to prepare their roles: what position they would take and which strategies they would use to support their position. Following the negotiation, each student evaluated his/her performance and the level of satisfaction achieved.

The final negotiation we did involved the entire class in one large group negotiation. The degree of topic complexity was the highest and the interactional strategies required were the most difficult.

This game, "Nuclear Energy for Togo?" is shown in the following pages.

NEGOTIATION: Multi-party

NUCLEAR ENERGY FOR TOGO?

Background Information sheet

Geography

Togo is a small, rectangularly-shaped country in West Africa. Lome is the capital, located on the Atlantic coast, in the southern part of the country. There are approximately 2 million inhabitants. Togo is bordered to the west by Ghana, by Upper Volta to the north, by Benin to the east, and by the Atlantic Ocean to the south.

The northern are of Togo lies along the edge of the Sahelian zone: a dry area that stretches across Africa from east to west. The southern part of Togo is near the equator and more tropical in climate.

History

Colonized by the French, Togo received independence in the early 1960's. Togo has a history of tribal wars that goes back a thousand or more years. The political borders that divide Togo from Benin are arbitrary and do not follow the ethnic group boundaries. Many people in Togo and Benin are members of the same ethnic groups, but have been divided by these national boundaries.

Economy

Largely agricultural, Togo produces mainly rice and peanuts. There are no large industries in Togo, perhaps due to the paucity of natural resources. Because of poor climatic conditions over the last 10 years, Togo's economy has relied more and more on help from France.

Education

The educational system in Togo is based upon the French one. The official language of the country is French, although not all the people speak it. Each ethnic group has its own language, but French is used in the schools and in the government. There is one university in the country. Few students complete high school as they are obliged to work. Therefore, the rate of illiteracy is rather high--also due to the fact that to be literate means speaking two languages (one's own and French).

Government

Because Togo has no wealth of natural resources, the world powers have largely left it alone. Togo is a socialist republic. Since independence, Togo has remained stable.

* * * * * * * * * * * *

Situation

France and the United States are each interested in providing Togo with a nuclear power plant. Nuclear power would guarantee Togo the power needed to develop its rich potential agricultural output.

Togolese officials, remembering their colonization under the French, are not certain that they want to incur even more indebtedness to them. On the other hand, because of their history, the Togolese understand not only the language, but the way French people do business. The Togolese are also worried that a French nuclear plant may not be as secure as one built by Americans.

Large-scale American influence in West Africa is unknown at the present time. Americans have a reputation for being extremely advanced in the field of technology, and for being honest and trustworthy in their business dealings. Yet precisely because they and their language are still relatively unknown, the Togolese are hesitant to contract out the plant to them.

Both the Americans and the French would very much like to build the nuclear power plant for Togo as it would ensure their presence in West Africa. Past events in southern and central Africa have made it apparent that the western world has too long ignored this vast continent.

Problem

In order to arrive at which country, France or the U.S., should build the nuclear plant for Togo, the Togolese Minister of the Interior has called a meeting of the people involved. The governments of Togo, France, and the United States have been invited to send representatives to this meeting. "SOEN" and "Nuktech, Inc.", the French and American nuclear plant builders, have also been asked to attend this meeting. The people at the meeting, to negotiate who will build a nuclear plant for Togo are:

Representing Togo:	Minister of Public Works
	Professor of Engineering, U. of Lome
	Minister of Foreign Affairs
Representing France:	Minister of Energy
	West African Affairs Specialist
	President of "SOEN" (Societe pour l'energie nucleaire)
Representing U.S.A.:	Secretary of Energy
	Undersecretary of State
	President of "Nuktech, Inc." (Nuclear Technologies, Inc.)

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Once the students read these introductory pages, they prepared the following worksheets.

HARVARD SUMMER ENGLISH SD PROGRAM
ELECTIVE: NEGOTIATIONS
NEU

NUCLEAR ENERGY FOR TOGO?

WORKSHEET

ROLE: _____

POSITION TOWARDS THE NUCLEAR POWER PLANT: PRO CON

LIST FIVE REASONS WHY YOU HAVE TAKEN THIS POSITION:

1. _____
2. _____
3. _____
4. _____
5. _____

CITE EXAMPLES FOR EACH REASON:

1A. _____

2A. _____

3A. _____

4A. _____

5A. _____

GIVE POSSIBLE COUNTERARGUMENTS FOR EACH OF THE ABOVE REASONS:

1B. _____
2B. _____
3B. _____
4B. _____
5B. _____

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NUCLEAR ENERGY FOR TOGO? WORKSHEET (CONT.)

WHICH OTHER PEOPLE AGREE WITH YOUR POSITION?

NAME ROLE

WHAT ARE THE MAJOR ARGUMENTS THAT THEY HAVE LISTED THAT YOU MIGHT USE:

1. _____
2. _____
3. _____
4. _____
5. _____

WHICH STRATEGIES WILL YOU USE FOR EACH OF YOUR ARGUMENTS:

1. _____
2. _____
3. _____
4. _____
5. _____

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HARVARD SUMMER ENGLISH SD PROGRAM
ELECTIVE: NEGOTIATIONS
NEU

NUCLEAR ENERGY FOR TOGO?

WORKSHEET #2

YOUR POSITION TOWARDS NUCLEAR ENERGY FOR TOGO: PRO CON

NOW THAT YOU HAVE THOUGHT THROUGH SOME OF THE POSSIBLE ARGUMENTS AND COUNTER-ARGUMENTS FOR YOUR POSITION, LIST THE CONDITIONS UNDER WHICH YOU WOULD AGREE TO SOME OF THE COUNTER-PROPOSALS:

IF_____,

THEN_____.

IF_____,

THEN_____.

IF_____,

THEN_____.

YOU MAY NEED MORE ROOM TO WRITE YOUR CONDITIONS- THE ABOVE IS JUST A SAMPLE OF THE FORMAT.

NONVERBAL BEHAVIOR

POSITION IN THE ROOM: WHERE WOULD YOU WANT TO SIT? (IN RELATION TO OTHER PEOPLE)

BODY POSITION: HOW WILL YOU SIT? (HANDS UNDER TABLE, ON TABLE, BODY LEANING BACK, FORWARD, ETC.) WHAT IS THE SIGNIFICANCE OF THESE DIFFERENT POSITIONS?

HANDS: WHAT WILL YOU DO WITH YOUR HANDS WHEN YOU ARE LISTENING? WHEN YOU ARE SPEAKING?

HEAD: WHAT WILL YOU DO WITH YOUR HEAD WHEN YOU ARE LISTENING? SPEAKING?

FACE: WHERE WILL YOUR EYES BE LOOKING? WHAT WILL YOUR MOUTH DO WHEN YOU ARE LISTENING? SPEAKING? EYEBROWS? EYE MOVEMENTS?

SOUNDS: WHAT KINDS OF SOUNDS WILL YOU MAKE WHEN YOU ARE SPEAKING BUT NEED TIME TO THINK? WHEN YOU AGREE WITH SOMEONE? WHEN YOU DISAGREE? WHEN YOU DON'T UNDERSTAND?

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The purpose of these worksheets is to have the students begin thinking not only about the role and position that they want to take in the interaction, but also about the possible counterarguments that their opponents may raise. This is a preparation for the second stage of negotiations- that called "Exchange".

On page 14, students find others who agree with their positions and discuss each other's arguments with the idea of finding strengths and weaknesses. When they have decided which arguments they think are the strongest for their position, then they list the strategies that they think will best serve these arguments.

Page 15 deals with the third stage of negotiations, that called "Change". This worksheet asks students to think about what concessions they are willing to make. At the bottom of this page is a reminder of the importance of nonverbal behavioral strategies as well.

The students then enter into the negotiation. Following the actual negotiation, the post-game worksheet was distributed and discussed. This page is shown below.

POST GAME WORKSHEET

1. Note who interrupted: how did they do it?
2. What were some of the techniques used for gaining control of the discussion?
3. How were topics changed? How did people change the present topic of discussion to what they wanted to talk about?
4. Did people ever seem to get off the main point?
5. What are some techniques to bring people back to the topic of discussion?
6. Who do you think are the best negotiators in the group? Why?
7. Who do you think best fulfills their assigned role? Why?
8. What solution do you think would have developed given the way the negotiation was going?
9. What solution were you hoping for?
10. Were you satisfied with your use of "Hmm/Haw" strategies?

This cycle of preparatory exercises, negotiation, and post-negotiation exercises was followed for each negotiation which we did.

Although the focus of the class was on the actual negotiations, most students demonstrated that many of the strategies used within the context of the negotiations were also carrying over into our playback and debriefing sessions as well.

From the students evaluations of this course, I believe that it succeeded in providing them with both an interesting and novel approach to ESL, and with interactional strategies which will continue to benefit them in any future interaction- be they negotiations or other- in English.

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